

# HUNTON & WILLIAMS

HUNTON & WILLIAMS LLP  
1751 PINNACLE DRIVE  
SUITE 1700  
MCLEAN, VIRGINIA 22102  
TEL 703 • 714 • 7400  
FAX 703 • 714 • 7410

JAMES R. MINER  
DIRECT DIAL: 703-714-7449  
EMAIL: JMINER@HUNTON.COM

File No: 52493.000352

16018 U.S. PTO  
10/781780



February 20, 2004

## UTILITY PATENT APPLICATION TRANSMITTAL

Attorney Docket Number: **52493.000352**

First Named Inventor: **Kete Charles CHALERMKRAIVUTH, et al.**

Title: **SYSTEMS AND METHODS FOR MULTI-OBJECTIVE PORTFOLIO OPTIMIZATION**

TO: **MAIL STOP PATENT APPLICATION**

U.S. Patent and Trademark Office

2011 South Clark Place

Customer Window

Crystal Plaza Two, Lobby, Room 1B03

Arlington, VA 22202

Sir:

Attached are the following for filing with the U.S. Patent and Trademark Office:

1. ☒ Fee Transmittal Form (original)
2. ☐ Small Entity Status Claimed:
 

☐ Independent Inventor  
☐ Small Business Concern  
☐ Non-Profit Organization

  
☐ Statement Enclosed  
☐ Statement Filed in Prior Application; Status Still Proper and Desired
3. ☒ Specification - Total Pages: **86** (Including Abstract)

CLAIMS AS FILED						
	Claims Filed	Basic Fee Claims	Extra	Rate		Amount
				Large Entity	Small Entity	
Total Claims	27	20	7	\$ 18.00	\$ 9.00	\$ 126.00
Independent Claims	4	3	1	\$ 86.00	\$ 43.00	\$ 86.00
First Presentation of Multiple Dependent Claims				\$ 290.00	\$ 145.00	\$ 0.00
<b>BASIC FEE</b>				\$ 770.00	\$ 385.00	\$ 770.00
Assignment Recordation Fee						\$ 00.00
<b>TOTAL FILING FEE</b>						<b>\$ 982.00</b>

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4. ☒ Drawings - Total Sheets: 38 (Fig(s). 1-38)
5. Oath or Declaration - Total Pages: 9
- a. ☐ Newly executed (original or copy)  
☒ New (unexecuted)
- b. ☐ Copy from a prior application  
(for continuation/divisional with Box 18 completed)
- i. ☐ DELETION OF INVENTOR(s):  
Signed statement attached deleting inventor(s) named in prior application.
6. ☐ Application Data Sheet
7. ☐ CD-ROM or CD-R in duplicate, large table or Microfiche Computer Program (Appendix)
8. ☐ Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
- a. ☐ Computer Readable Form (CRF)
- b. ☐ Specification Sequence Listing on:
- i. ☐ CD-ROM or CD-R (two copies); or
- ii. ☐ Paper Copy (identical to computer copy)
- c. ☐ Statements verifying identity of above copies
9. ☐ Assignee/Applicant: \_\_\_\_\_  
\_\_\_\_\_
- ☐ Assignment and Assignment Recordation Form Submitted Herewith
- ☐ Assignee of Record in Prior Application No. \_\_\_\_\_ :  
\_\_\_\_\_  
\_\_\_\_\_  
recorded on \_\_\_\_\_ at Reel \_\_\_\_\_, Frame \_\_\_\_\_.

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10. ☐ 37 C.F.R. 3.73(b) Statement ☐ Power of Attorney
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure Statement with PTO-1449 and References  
☐ Copies of Information Disclosure Statement Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard
15. ☐ Priority is Claimed as Follows:  
\_\_\_\_\_  
\_\_\_\_\_
- ☐ Claim Benefit of the Following U.S. Provisional Application No(s):  
\_\_\_\_\_  
\_\_\_\_\_
- ☐ If Foreign Priority is Claimed, Certified Copy of the Above Priority Document(s) is Submitted Herewith
16. ☐ Nonpublication Request under 35 U.S.C. § 1222(b)(2)(B)(i). Applicant must attach Form PTO/SB/35 or its equivalent.
17. ☐ Other: \_\_\_\_\_
18. ☐ Continuation ☐ Divisional ☐ Continuation-in-Part of  
Prior Application No.: \_\_\_\_\_ filed \_\_\_\_\_
- Prior application information: Examiner \_\_\_\_\_ Group Art Unit \_\_\_\_\_
- ☐ Incorporation By Reference (useable if Box 5b is marked)  
The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 5b, is considered as being part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application papers.
- ☐ Complete Application Based on Provisional Application No.: \_\_\_\_\_  
filed \_\_\_\_\_



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19. Please address all correspondence to:

☒ **CUSTOMER NUMBER**

**\*21967\***

PATENT TRADEMARK OFFICE

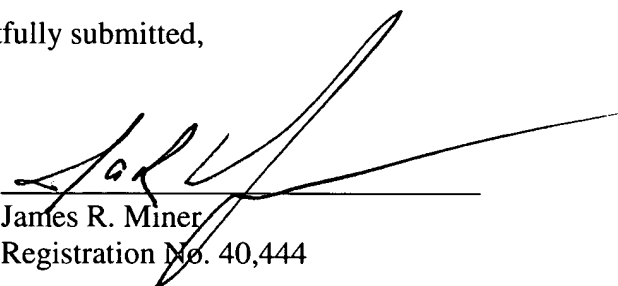
☒ **Jennifer A. Albert, Esq.**  
Intellectual Property Department  
Hunton & Williams  
1900 K Street, N.W.  
Suite 1200  
Washington, DC 20006-1109

20. ☒ One check is enclosed in the amount of \$ **982.00** for the filing fee, and the Assignment Recordation fee. In the event any variance exists between the amount enclosed and the Patent Office charges, please charge or credit any such variance to **Deposit Account No. 50-0206**.

☐ The U.S. Patent and Trademark Office is hereby authorized to charge any variance between the amount enclosed and the Patent Office charges to **Deposit Account No. 50-0206**.

Respectfully submitted,

By:

  
James R. Miner  
Registration No. 40,444

JRM/mlr